

**IN THE UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

HARRINGTON GLOBAL OPPORTUNITY  
FUND, LIMITED,

Plaintiff,

Case No.: 21-cv-00761 (LGS)

-against-

CIBC WORLD MARKETS CORP., CIBC  
WORLD MARKETS INC., BANK OF  
AMERICA SECURITIES, INC., MERRILL  
LYNCH CANADA INC., MERRILL LYNCH  
PROFESSIONAL CLEARING CORP., TD  
SECURITIES, INC., TD SECURITIES(USA)  
LLC, CORMARK SECURITIES, INC., UBS  
FINANCIAL SERVICES, INC., UBS  
SECURITIES CANADA, INC., SOCIETE  
GENERALE CAPITALE CANADA, INC.,  
SG AMERICAS SECURITIES, LLC, AND  
JOHN DOES 1 THROUGH 10,

Defendants.

**RULE 7.1 DISCLOSURE**

Pursuant to Federal Rule of Civil Procedure 7.1, in order to enable judges and magistrate judges of the Court to evaluate possible disqualification or recusal, the undersigned counsel for Defendants CIBC World Markets Corp. and CIBC World Markets, Inc. certifies that the Canadian Imperial Bank of Commerce owns 10% or more of each of these Defendants' stock or membership interest. Shares of Canadian Imperial Bank of Commerce stock trade on the Toronto Stock Exchange and the New York Stock Exchange under the symbol CM.

No other parent and/or other publicly held corporations own 10% or more of either of these Defendants' stock.

Dated: March 12, 2021

DENTONS US LLP

/s/ Sandra D. Hauser

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